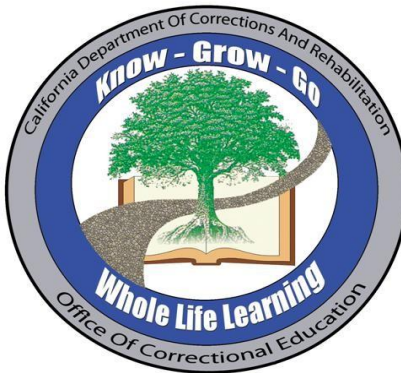


DEPARTMENT OF CORRECTIONS AND REHABILITATION

OFFICE OF AUDITS AND COMPLIANCE

EDUCATIONAL COMPLIANCE BRANCH



COMPLIANCE REVIEW FINDINGS

Pelican Bay State Prison

April 21 through April 24, 2008

ADMINISTRATION

G. Lynn Hada

ACADEMIC EDUCATION

Raul Romero, John Jackson

VOCATIONAL EDUCATION

Beverly Penland

LIBRARY

Christine Long

FEDERAL SUPPLEMENTARY PROGRAMS

Mark Lechich

Ron Callison

Gary Sutherland

COMPLIANCE REVIEW FINDINGS

EDUCATION ADMINISTRATION SECTION

No.	INSTITUTION: Pelican Bay State Prison (PBSP) DATE: April 21-25, 2008 COMPLIANCE TEAM: (Name)	Yes/No or NA	COMMENTS
1.	<div style="border: 1px solid black; padding: 2px; margin-bottom: 5px;">Allotments/Operating Expenses:</div> <ul style="list-style-type: none"> Does the Principal maintain a budget tracking system to monitor the school departments' complete budget? Is there an annual spending plan to determine sub-allotments to programs, expenditures and their balance? 	Yes	
2.	Based upon current policy (amount of budget allotted) does it appear that a viable spending plan is in place in order for allocated funds to be fully utilized by year end?	Yes	
3.	Are funds allocated by Office of Correctional Education available and spent within program areas?	Yes	
4.	Are funds tracked by funding source? General Fund, special Budget Change Proposal funding, Federal and State Grant Programs allocated by Office of Correctional Education?	Yes	
5.	Are allocated funds for the Bridging Education Programs, including Arts In Corrections (AIC), used to provide program services to inmates?	Yes	
6.	Are law library purchases funded by the institution's general budget?	Yes	
7.	Is the school following the Education Hiring Steps and Responsibilities memo and matrix dated July 13, 2006 instructions when filling vacancies?	No	The school does not follow all steps in the Education Hiring Matrix every time.

COMPLIANCE REVIEW FINDINGS

EDUCATION ADMINISTRATION SECTION

8.	Are the Education Monthly Report (EMR) and the Education Daily Report (EDR) accurate and being completed and submitted on a timely basis?	Yes	
9.	Has adequate space and equipment been provided for staff to perform the required duties of the Reception Center/Bridging Education Program, Arts In Corrections program and the Television Specialist?	Yes	
10.	Credentials: Are all instructional and supervisory staff credentialed appropriately within subject matter area where they are assigned?	No	One teacher is inappropriately assigned to an Elementary Teacher position number 2287. The teacher has a single subject credential only and must be assigned to a High School position number 2290. It is recommended the Principal or Vice-Principal contact Max Free at the Office of Correctional Education to determine if the 2287 position number is "interchangeable" and can be changed to a 2290 by the Institutional Personnel Officer.
11.	Does the assigned bridging staff hold appropriate credentials and/or placed in the appropriate Re-Entry classification?	N/A	There is only an Arts-in-Corrections program in the Bridging Education Program and this position does not require a credential.
12.	Duty Statements: Are 100% of the staff duty statements on file and applicable to current position?	Yes	
13.	Operational Procedures: Does the institution have an Operational Procedure that addresses the legislative mandates of the Bridging Education Program?	No	There is an Operational Procedure but it was last revised in January 2007.

COMPLIANCE REVIEW FINDINGS

EDUCATION ADMINISTRATION SECTION

14.	<ul style="list-style-type: none"> Does the institution have an Operational Procedure for the Education Program? Does it use Department Operation Manual Chapter 10 as an inclusion? 	No	The Operational Procedure was last revised in July 2005. It has no reference to the Department Operation Manual either Chapter 10 or Chapter 5. It only addresses Academic Education issues with no mention of Vocational Education. It also states that if a potential student has a General Educational Development certificate or a High School Diploma, then he cannot be enrolled in an academic (Adult Basic Education, General Education Development and High School) program, notwithstanding the student's Test of Basic Adult Education scores.
15.	<div style="border: 1px solid black; background-color: #e0e0e0; padding: 2px;">Staff Assignments:</div> <p>Does the Principal maintain a current and complete list of all authorized positions and their status?</p>	Yes	
16.	Are all staff appropriately working and/or assigned within the education program?	Yes	
17.	Do all staff within the education program report to, and are under the Principal's supervision?	Yes	
18.	Is the Bridging Education Program Reception Center/General Population/Arts In Corrections fully staffed with supervisory, instructional and ancillary personnel?	N/A	
19.	Are Re-Entry Program instructors, class code 7581, assigned only to the Bridging Education Program (BEP)?	N/A	

COMPLIANCE REVIEW FINDINGS

EDUCATION ADMINISTRATION SECTION

20	When Bridging Education Program vacancy occurs, is it immediately reclassified to class code 2290 Teacher, High School, General Education?	N/A	
21.	Has the Artist Facilitator been officially assigned to the Education Department?	Yes	
22.	Is there a system in place that is being utilized to ensure the tracking of inmates and their completed assignments during their transition from the Reception Center to the General Population Institution?	Yes	
23.	Has an individual been designated to be responsible for trouble-shooting the equipment and contacting Transforming Lives Network for needed support?	Yes	An Electronics Technician from Plant Operations.
24	When there is a modified program, class closure, etc., is a plan in place to continue to deliver education services and other required educational activities and is the plan always implemented?	Yes	
25	Is the Assessment Office Assistant (OA) performing duties delineated in the Assessment OA duty statement?	Yes	
26.	<div style="border: 1px solid black; padding: 2px; margin-bottom: 5px;">Alternative Education Delivery Model (AEDM):</div> Is an approved Alternative Education Delivery Model Operational Procedure in place?	No	The current Operational Procedure was last revised in March 2006.

COMPLIANCE REVIEW FINDINGS

EDUCATION ADMINISTRATION SECTION

27.	Are all of the Alternative Education Delivery Models being locally implemented at the institution in agreement with the California Correctional Peace Officers Association agreement and the institutional Operational Procedure per the Suzan Hubbard memo dated May 5, 2005?	No	There is no Education/Work program as required by the Alternative Education Delivery Model Operational Procedure.
28.	Are all Alternative Education Delivery Model positions filled?	No	There is no Education/Work program as required by the Alternative Education Delivery Model Operational Procedure.
29.	Do all Alternative Education Delivery Model faculty have the approved Alternative Education Delivery Model Duty Statement with required signatures?	Yes	All faculty that are assigned to an Alternative Education Delivery Model position have the proper duty statement.
30.	Are Alternative Education Delivery Model inmate enrollments/assignments being made based on eligibility criteria of the enrollments/assignment as defined in the course descriptions and guidelines?	Yes	
31.	<ul style="list-style-type: none"> Are all Alternative Education Delivery Model Programs operating as full-time programs that meet the program-wide quotas? Are all approved Alternative Education Delivery Model faculty schedules posted? 	Yes	
32.	<div style="border: 1px solid black; padding: 2px;">Gender Responsive Strategies:</div> <p>Has all education staff received Gender Responsive Strategies training provided by the Female Offender Programs (FOP) institutional administration?</p>	N/A	

COMPLIANCE REVIEW FINDINGS

EDUCATION ADMINISTRATION SECTION

33.	Are female inmates' vocational assignments being made based on the eligibility criteria of the vocational assignment as defined in the course descriptions and vocational guidelines?	N/A	
34.	Certificates of Completion or Achievement: <ul style="list-style-type: none"> Are Certificates of Vocational or Academic Life Skills Completion being issued to those students earning them and recorded on a tracking system? Are Certificates of Achievement issued to those students who exit the program before the Certification of Completion is earned? 	No	Certificates of Achievement are sometimes issued to students that have not left the class; they are issued for finishing orientation or safety, for example.
35.	Executive/Supervisory Assignments: <p>Are documented staff meetings held regularly by Principal, Academic Vice Principal (AVP), and Vocational Vice Principal (VVP)? (monthly or more)</p>	Yes	
36.	Is the Principal a member of the Warden's Executive Staff?	Yes	
37.	Does all supervisory staff conduct and record classroom visitations and observations on a quarterly basis?	No	Visitations and observations are done but are not being recorded.
38.	<ul style="list-style-type: none"> Does the Academic Vice Principal/Vocational Vice Principal provide documented In-Service-Training and On-the-Job-Training? Are all probationary and annual performance evaluations currently due completed? 	No	Almost all of the annual performance evaluations are one year or more overdue. In Service Training and On the Job Training are provided and documented.
39.	Are supervisors documenting contact with staff and inmates involved in the bridging program?	No	Documentation of contacts between the supervisors and the Bridging Education Program inmates was not available.

COMPLIANCE REVIEW FINDINGS

EDUCATION ADMINISTRATION SECTION

40.	Are Transforming Lives Network quarterly reports being submitted to Office of Correctional Education by the due dates of Oct. 10, January 10, April 10 and July 10?	Yes	
41.	<div>Test of Adult Basic Education:</div> <ul style="list-style-type: none"> Is the Principal trouble shooting Test of Adult Basic Education score losses identified on the School Program Assessment Report Card (SPARC)? Is the principal implementing remedial changes to improve the scores? 	Yes	
42.	Is there a 4.0 reading level report generated and distributed to appropriate staff?	Yes	
43.	Is a list of inmates who have a verified Learning Disability generated and distributed to appropriate staff?	Yes	
44.	<div>Accreditation:</div> <p>Has the education program been accredited by Western Association of Schools and Colleges (WASC), or has the application for accreditation been submitted to Western Association of Schools and Colleges?</p>	Yes	
45.	<ul style="list-style-type: none"> Is there a continuing Western Association of Schools and Colleges process being followed by the school with the action plans being actively addressed in a timely manner. Is there a leadership team in place and do minutes substantiate regular meetings? 	Yes	

COMPLIANCE REVIEW FINDINGS

EDUCATION ADMINISTRATION SECTION

46.	<div style="border: 1px solid black; padding: 2px; margin-bottom: 5px;">Inmate Enrollment/Attendance:</div> <p>Do Academic, Vocational, Bridging Education Program, Enhanced Outpatient Program and Alternative Education Delivery Model enrollments meet the required program quotas (15:1, 27:1, 54:1, 120:1)?</p>	Yes	
47.	<p>Has the Institution developed an eligibility list for assigning inmates to the Bridging Education Program?</p>	N/A	
48.	<p>Does the Principal maintain a copy of the current inmate assignment waiting list?</p>	Yes	
49.	<p>Is education staff attending Institution Classification Committee (ICC) meetings for input into the placement of inmates into education programs?</p>	Yes	
50.	<div style="border: 1px solid black; padding: 2px; margin-bottom: 5px;">Bridging Program:</div> <p>Has the teaching staff met with each inmate upon assignment to the Bridging Education Program?</p>	N/A	
51.	<p>Are all Bridging Education Program eligible inmates receiving an education orientation packet upon arrival to the housing unit?</p>	N/A	
52.	<div style="border: 1px solid black; padding: 2px; margin-bottom: 5px;">Transforming Lives Network (TLN):</div> <p>Has the Transforming Lives Network satellite dish been installed and operational?</p>	Yes	

COMPLIANCE REVIEW FINDINGS

EDUCATION ADMINISTRATION SECTION

53	Is the Literacy Coordinator (Academic Vice-Principal) designated as the Transforming Lives Network Coordinator?	Yes	
54.	Do the number of inmates being enrolled and the number completing Transforming Lives Network courses agree with the numbers reported to Office of Correctional Education?	No	The Education Monthly Report reports zero. In-house reports show completion figures of 47 inmates.
55.	Has Transforming Lives Network enrollment and completion data been tracked?	No	The enrollment and completion data is not tracked appropriately.
56.	<div style="border: 1px solid black; padding: 2px;">GED Testing/High School Credit:</div> <ul style="list-style-type: none"> • Is there a High School credit program and General Educational Development (GED) Testing program that follows Office of Correctional Education and State requirements? • Are High School Diplomas and GED Equivalency Certificates issued to qualified inmates? 	No	There is no High School program at PBSP.
57.	<div style="border: 1px solid black; padding: 2px;">Inmate Education Advisory Committee:</div> <p>Is there an Inmate Education Advisory Committee established with regularly scheduled monthly meetings?</p>	No	The Inmate Education Advisory Committee has met sporadically, not monthly except for the last two months, for the past year.

COMPLIANCE REVIEW FINDINGS

EDUCATION ADMINISTRATION SECTION

58.	<div style="border: 1px solid black; padding: 2px; margin-bottom: 5px;">Education Files</div> <ul style="list-style-type: none"> • Do all of the quarterly California Department of Corrections and Rehabilitation Form 128E and Form 154 (and/or other official student school transcripts) reports contain current and appropriate information that includes credits earned, course completions, etc.? • Does the appropriate instructional staff sign all of the above reports? (Supervisory staff when instructional staff is not available.) • Does supervisory staff (Academic Vice-Principal/Vocational Vice-Principal) review these reports? 	No	Not all California Department of Corrections and Rehabilitation Form 128Es have been reviewed by the supervisor. Not all California Department of Corrections and Rehabilitation Form 154 have Test of Basic Adult Education scores properly posted.
59.	<ul style="list-style-type: none"> • Are Education Files with a copy of the Record of Inmate Achievement (California Department of Corrections and Rehabilitation Form 154) transferred to Central Records when a student leaves education, transfers or paroles? • Is there a copy of the Record of Inmate Achievement (California Department of Corrections and Rehabilitation Form 154 or High School Transcript) kept in the Education Office files in perpetuity? • Are Education Files prepared for all assigned inmates? • Are Bridging Education Program Education Files prepared for all assigned bridging students in the Reception Center and transferred to the General Population receiving institution? 	No	No copies of the Record of Inmate Achievement (California Department of Corrections and Rehabilitation Form 154) or High School transcripts are maintained.
60.	If there are any contracted, Office of Correctional Education sponsored or special programs operating at the institution, have the teachers assigned to these programs received special/related training?	Yes	
61.	<div style="border: 1px solid black; padding: 2px; margin-bottom: 5px;">Literacy:</div> <p>Are literacy programs available to at least 60% of the eligible prison population?</p>	Yes	

COMPLIANCE REVIEW FINDINGS

EDUCATION ADMINISTRATION SECTION

62.	Is there an active Site Literacy Committee that meets and documents quarterly meetings, and is it coordinated by the Principal or an Academic Vice-Principal?	Yes	
63.	Does the Site Literacy Committee discuss the Bridging Education Program as part of its quarterly meetings?	Yes	
64.	Is the institution utilizing at least two alternate resources to implement literacy services for inmates?	Yes	
65.	Is there an established procedure for placing students into any existing Learning Literacy (LLL) lab? (a federally or non-federally funded Computer Aided Instruction /Plato/Computer Lab)	Yes	A pull-out program.
66.	<div style="border: 1px solid black; padding: 2px;">Developmental Disability Program and Disability Placement Program Programs:</div> <p>If this is a Developmental Disability Program and/or a Disability Placement Program site, does the principal have the required documentation that demonstrates adherence to the Court Remedial Plans and California Department of Corrections and Rehabilitation/Office of Correctional Education policies?</p>	N/A	
67.	<div style="border: 1px solid black; padding: 2px;">ESTELLE/Behavior Modification Programs:</div> <p>Is documentation available regarding the original operational intent/concept of the Estelle/Behavior Modification Unit Program and are there actual implementations of the program/programs?</p>	Yes	

COMPLIANCE REVIEW FINDINGS

EDUCATION ADMINISTRATION SECTION

68.	Is there an Estelle/Behavior Modification Unit Program monitoring and tracking process in place to record student progress through achievement/progress, data collection, instructional methods, and curriculum?	Yes	
69.	<div style="border: 1px solid black; padding: 2px; margin-bottom: 5px;"> Correctional Offender Management Profiling for Alternative Sanctions (COMPAS) – Risk and Needs Assessment: </div> Is there an approved Correctional Offender Management Profiling for Alternative Sanctions (COMPAS) Risk and Needs Assessment Operational Procedure (OP)?	N/A	
70.	Are all Recidivism and Reduction Strategy (RRS) Assessment positions filled (part of Correctional Offender Management Profiling for Alternative Sanctions)?	N/A	
71.	Are all other designated assessment positions filled? Is there a designated supervisor over the Correctional Offender Management Profiling for Alternative Sanctions (COMPAS) Risk and Needs Assessment Program?	N/A	
72.	Do all designated assessment staff have an individual Correctional Offender Management Profiling for Alternative Sanctions (COMPAS) log-on code? Is the security of the code maintained?	N/A	
73.	Does the assessment staff maintain appropriate security of laptop and/or stand-alone computers utilized for the Correctional Offender Management Profiling for Alternative Sanctions (COMPAS) Risk and Needs Assessment Program?	N/A	

COMPLIANCE REVIEW FINDINGS

EDUCATION ADMINISTRATION SECTION

74.	Recidivism Reduction Strategies: <ul style="list-style-type: none"> Is there an Recidivism Reduction Strategies expenditure tracking log maintained by the Principal for the purposes of identifying equipment or materials purchase or provided to the institution for assessments as identified in the Recidivism Reduction Strategies Budget Change Proposal (BCP)? Are inventories of Recidivism Reduction Strategies equipment maintained and current? 	N/A	
75.	Recidivism Reduction Strategies Enhanced Outpatient Program: <p>Are all Enhanced Outpatient Program staff hired and in place?</p>	Yes	
76.	Does the Principal (via the Academic Vice-Principal) supervise the Enhanced Outpatient Program Teacher(s) in accordance with California Department of Corrections and Rehabilitation policy?	Yes	
77.	Have the Enhanced Outpatient Program Teacher(s) received training in performing the required duties as described in the Enhanced Outpatient Program Duty Statement?	Yes	
78.	Multi-Agency Re-entry Program (SB 618): <p>Has the institution interviewed and hired for the Prison Case Manager positions as members of the Multi-Disciplinary team?</p>	N/A	
79.	Are the four vocational programs referenced in Senate Bill 618 in place at the institution?	N/A	

COMPLIANCE REVIEW FINDINGS

EDUCATION ADMINISTRATION SECTION

80.	Has a documentation process been established to monitor inmate contact time as well as inmate growth and completion of program?	N/A	
81.	<div>Vocational-Recidivism Reduction Strategies</div> Are all original vocational Recidivism Reduction Strategies (RRS) teacher positions filled and are all classrooms operating?	Yes	The one Recidivism Reduction Strategies class is currently operating but the three Recidivism Reduction Savings vocational positions are not operating.
82.	Are all Recidivism Reduction Strategies vocational classes at full enrollment?	Yes	The one Recidivism Reduction Strategies class is currently operating at full enrollment. The three Recidivism Reduction Savings vocational positions are not operating.

COMPLIANCE REVIEW FINDINGS

ACADEMIC EDUCATION SECTION

NO.	INSTITUTION: PBSP DATE: April 21-25, 2008 COMPLIANCE TEAM: John Jackson	Yes/No or N/A	COMMENTS
1.	Student Job Descriptions: Are all of the inmate students' job descriptions accurate, complete, signed, and available?	Yes	
2.	Student Records/Achievements: Do all the of classroom files reflect Test of Adult Basic Education scores that are being administered according to the quarterly testing matrix and that are not over six months old for students under the California Department of Corrections and Rehabilitation Literacy Plan criteria and Office of Correctional Education Test of Adult Basic Education testing requirements?	Yes	
3.	Are all of the California Department of Corrections and Rehabilitation Form 128E chronological reports, classroom records and timekeeping documents, current, accurate, and secure?	Yes	
4.	Is 100% of the California Department of Corrections and Rehabilitation curriculum recording system in-use, accurate, and current?	Yes	
5.	Do 100% of the Permanent Class Record Cards (California Department of Corrections and Rehabilitation Form 151) reflect the minimum student contact time of 6.5 hours x-time or 8.5 hours of x-time for 4-10 programs for traditional classes?	No	The students generally arrive between 0800 hours and 0830 hours. There was no evidence of "S" time being recorded on the Permanent Class Record (California Department of Corrections and Rehabilitation Form 151) cards. It appears that the actual in-class time is five (5) hours.
6.	Are Certificates of Completion or Achievement being issued to those students earning them?	No	Only some of the teachers are issuing certificates of Achievements/Completions to students who earned them.

COMPLIANCE REVIEW FINDINGS

ACADEMIC EDUCATION SECTION

7.	<div style="border: 1px solid black; padding: 2px; margin-bottom: 5px;">Instructional Expectations:</div> <p>Do all of the academic education classes have lesson plans that agree with the California Department of Corrections and Rehabilitation approved curriculum?</p>	Yes	
8	<p>Are the required and/or elective credits in the academic subject being taught issued to inmates and recorded on the transcript?</p>	No	<p>The teachers did not know that they have the authority to give elective credits. Most did not know that Office of Correctional Education have a policy and procedure in place to issue High School Diplomas.</p>
9.	<p>Do all of the academic education classes have course outlines that agree with the California Department of Corrections and Rehabilitation approved curriculum?</p>	No	<p>Some of the teachers did not have a course outline.</p>
10.	<div style="border: 1px solid black; padding: 2px; margin-bottom: 5px;">Bridging Education Program Instructional Expectations:</div> <p>Is each teacher utilizing the established curriculum for Bridging Education Program and does each teacher has a copy of the curriculum?</p>	N/A	
11.	<p>Are the Test of Adult Basic Education and Comprehensive Adult Student Assessment System being Administered to Bridging Students? Are other assessments being used to assess the inmate job skills?</p>	N/A	
12.	<p>Does Bridging Education Program teacher utilize the proper Permanent Class Record Card (California Department of Corrections and Rehabilitation Form 151) that is up to date and accurate?</p>	N/A	

COMPLIANCE REVIEW FINDINGS

ACADEMIC EDUCATION SECTION

13.	Has the Bridging Education Program teacher developed a written weekly schedule to include student programs and contacts?	N/A	
14.	<div style="border: 1px solid black; padding: 2px; margin-bottom: 5px;">Test of Adult Basic Education Testing Coordinator:</div> Are gain/loss reports (School Progress Assessment Report Card) and the Test of Adult Basic Education sub-test reports reviewed/shared with the education supervisors?	Yes	The reports are downloaded and then shared with the principal and vice-principal.
15.	Does the Test of Adult Basic Education Coordinator and at least two others have access to a California Department of Corrections and Rehabilitation email address and user account?	Yes	The internet connection is on the Comprehensive Adult Student Assessment System computer. All files are downloaded to a flash drive and transferred to the Test of Basic Adult Education computer. The Test of Basic Adult Education coordinator is very fortunate to have access at her office location.
16.	Does the Test of Adult Basic Education Coordinator have the most recent Test of Adult Basic Education database (within a week)?	Yes	The new version of the education database is downloaded weekly and then transferred to the Test of Basic Adult Education computer.
17.	Are Test of Adult Basic Education testing protocols signed by current staff?	Yes	The copy of the test protocols were in the Test of Adult Basic Education binder. The binder needs to be better organized for easier access.
18.	Are the Test of Adult Basic Education testing materials secured in a locked cabinet (mandatory standards)?	Yes	All testing materials were in the appropriate locked cabinet.

COMPLIANCE REVIEW FINDINGS

ACADEMIC EDUCATION SECTION

19.	Is a master inventory of Test of Adult Basic Education test booklets and answer sheets maintained by the testing coordinator?	No	The test coordinator has a master inventory of test books and a check out system for testing books; however the answer sheets are not inventoried and monitored. The answer sheets need to be added to the master inventory and their count needs to be also tracked on the check out and in system.
20.	Is the Test of Adult Basic Education binder current and up-to-date with memos, purchase orders and instructions?	Yes	The documents are available within the binder but they need to be organized for easier accessibility and reference. All memorandums need to be reviewed for updated procedure changes.
21.	Is the Test of Adult Basic Education locator test being used when needed to determine which level appropriate Test of Adult Basic Education test to administer?	Yes	The locator tests are available but not used often.
22.	<div style="border: 1px solid black; padding: 2px;">Teacher-Test of Adult Basic Education Testing</div> <p>Are teachers testing within ten days of the student's initial entry into the classroom, as well as quarterly testing based on the Test of Adult Basic Education matrix?</p>	Yes	
23.	Are the Test of Adult Basic Education tests administered according to the testing matrix?	Yes	
24.	Is the Test of Adult Basic Education locator being used when needed to determine which level appropriate Test of Adult Basic Education test to administer?	No	Many of the teachers are not using the Test of Basic Adult Education locator test.

COMPLIANCE REVIEW FINDINGS

ACADEMIC EDUCATION SECTION

25.	Are teachers using Test of Adult Basic Education pre-post subtest diagnostic reports for student needs assessment and are they reviewing test scores with inmates?	Yes	
26.	Are teachers using the Test of Adult Basic Education pre-post diagnostic subtest test results as a diagnostic tool for individualized instruction and troubleshooting Test of Adult Basic Education score losses in their classes?	Yes	
27.	Are current Test of Adult Basic Education subtests placed in student's file?	Yes	
28.	<div style="border: 1px solid black; padding: 2px;">Alternative Education Delivery Models:</div> Are Alternative Education Delivery Model Open Line schedules with dates and times posted in public areas for inmate access to educational services during off work hours?	Yes	They have a schedule that is shown on institutional TV that shows everything offered on the education channel.
29.	Are the Television Specialist and Distance Learning Study Teacher developing a Distance Learning Study Channel schedule of courses, with dates and times, posted in public areas for inmates to review and complete their assignments?	Yes	The Kentucky Educational General Educational Development tapes are shown on the institutional TV. All of the test areas of the General Educational Development are shown on the institutional TV according to schedule.
30.	Does the Television Specialist plan, supplement and implement electronic educational coursework with the Distance Learning teacher, utilizing Transforming Lives Network and airing educational programs, such as Kentucky Educational TV General Education Development series on a weekly basis?	Yes	Yes, when the math and writing courses are completed; and when the General Educational Development Math Express is completed.

COMPLIANCE REVIEW FINDINGS

ACADEMIC EDUCATION SECTION

31.	Are teachers awarding inmates certificates for achievement/completion in Alternative Education Delivery Model programs?	Yes	Yes, when the math and writing courses are completed; and the General Educational Development Math Express is completed.
32.	Do all of the Education/Independent Study (half-time) classes have current course outlines and lesson plans that agree with the Office of Correctional Education approved curriculum?	N/A	There is no Education/Independent Study (half-time) program. The Operational Procedure for the Alternative Education Delivery Model states that this model will not be implemented at PBSP.
33.	Do all of the Education/Work Program (half-time) classes have current course outlines and lesson plans that agree with the Office of Correctional Education approved curriculum?	No	There is no Education/Work (half-time) program.
34.	Do all of the Distance Learning classes have current course outlines and lesson plans that agree with the Office of Correctional Education approved curriculum?	Yes	In addition to other enhancements.
35.	Do all of the Independent Study classes have current course outlines and lesson plans that agree with the Office of Correctional Education approved curriculum?	Yes	The General Educational Development Express is open to everyone participating in the independent study program.
36.	<ul style="list-style-type: none"> Are teachers testing inmates within ten days of being enrolled or assigned to an Alternative Education Delivery Model program? Are the inmates' Test of Adult Basic Education subtest results analyzed by the teacher for appropriate Alternative Education Delivery Model lesson/class placement? 	No	The General Educational Development Test (GED) Express participants do not participate in the TABE Testing Matrix and the TABE Total Reading subtest results are not generally used for placement.

COMPLIANCE REVIEW FINDINGS

ACADEMIC EDUCATION SECTION

37.	<ul style="list-style-type: none"> Is the Alternative Education Delivery Model current enrolled/assigned inmate roster consistently kept updated? Is it given to the Vice-Principal and Principal on at least a weekly basis? 	Yes	
38.	Are students' gains being recorded and tracked?	Yes	Student gains are being tracked by the Test of Basic Adult Education and Comprehensive Adult Student Assessment System testing.
39.	Gender Responsive Strategies: Do all of the academic life skills classes have current course outlines that agree with the Office of Correctional Education/Gender Responsive Strategies (GRS) approved curriculum, i.e.? Women's Conflict and Anger Lifelong Management (W-CALM)(Feb. 2007), Women's Health (July 2007), Women's Parenting (January 2008) Women's Victims (July 2008)?	N/A	
40.	Do all of the academic life skills classes have current lesson plans that agree with the Office of Correctional Education/Gender Responsive Strategies approved curriculum?	N/A	
41.	ESTELLE and Behavior Modification Unit programs: Is there an effective system in place to track monthly attendance, reporting, and evaluation of assigned inmates, their performance; and participation that allows a clear over-all rating of progress of each student in the Behavior Modification Unit/ESTELLE program?	Yes	

COMPLIANCE REVIEW FINDINGS

ACADEMIC EDUCATION SECTION

42.	Is there a tracking and evaluation process to determine inmate progress on the Behavior Modification Unit curriculum competencies including Conflict and Anger Lifelong Management and is documentation provided to the Unit Classification Committee every 30 days detailing how the inmates assigned to the Behavior Modification Unit program are performing?	Yes	However, there are only 34 participants instead of the 48 required participants in the program. It is recommended that the BMU classification committee complete the process to provide additional inmates to fill the program to capacity. The prolonged period of under-capacity must be addressed as soon as possible.
43.	<ul style="list-style-type: none"> Do ESTELLE students have access to computers as required in the framework of the program for training? Does the teacher have Test of Adult Basic Education scores on all of the students in the program? 	No	All ESTELLE students do not have access to computers as required by the frame work of the program. It is reported by the outgoing Principal that the additional 16 computers are on order. The program frameworks require that all 24 assigned students have computers.
44.	<div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;"> Correctional Offender Management Profiling for Alternative Sanctions (COMPAS) – Risk and Needs Assessment: </div> Are assessment teachers conducting assessments on eligible inmates as defined by the current Correctional Offender Management Profiling for Alternative Sanctions (COMPAS) Operations Manual?	N/A	
45.	Does assessment staff utilize the current standardized Correctional Offender Management Profiling for Alternative Sanctions (COMPAS) Tracking Form?	N/A	
46.	Are the Correctional Offender Management Profiling for Alternative Sanctions (COMPAS) questionnaires shredded daily in accordance with confidential document procedure?	N/A	

COMPLIANCE REVIEW FINDINGS

ACADEMIC EDUCATION SECTION

47.	Are assessment interviews conducted in a semi-private environment?	N/A	
48.	Is appropriate assistance provided to inmates during participation in the Correctional Offender Management Profiling for Alternative Sanctions (COMPAS) assessment interview in accordance with departmental policies regarding Effective Communication, the Clark Remedial Plan, and Armstrong mandates?	N/A	
49.	<div style="border: 1px solid black; padding: 2px;">Security and Order:</div> Are personal alarms issued to teachers and do they wear whistles and the personal alarms on their person?	Yes	
50.	Are exits clearly marked and emergency evacuation plans posted in accordance with the institution's emergency evacuation plan?	Yes	
51.	<div style="border: 1px solid black; padding: 2px;">Pre-Release</div> Does the Pre-Release curriculum contain Life Skills; Communication Skills; Attitude and Self-Esteem; Money Management; Community Resources; Job Application Training; Department of Motor Vehicles Practice Test; and Parole Services?	Yes	The Pre-Release program is delivered through the Alternative Education Delivery Model process. The packets that are distributed contain all of the elements of the Pre-Release curriculum.
52.	Do all of the Pre Release lesson plans contain the objective, handouts, and methods for student evaluation?	Yes	The packets were reviewed by me and they contained lesson plans that outlined what the students were expected to learn. Additionally, the pre-Release videos are shown on the institutional TV at scheduled times.

COMPLIANCE REVIEW FINDINGS

ACADEMIC EDUCATION SECTION

53.	Is the Pre-Release teacher receiving appropriate institutional and Parole and Community Services Division (P&CSD) staff support?	Yes	The Parole Agent II Conducts a two hour class for those inmates who are paroling.
54.	Is the Pre-Release curriculum recording system in-use, accurate, and current and are copies of monthly records maintained?	Yes	The curriculum recording system was reviewed; as were copies of the Pre-Release monthly report that is sent to OCE.
55.	Does the Pre-Release instructor use a variety of teaching methodologies and allow for differentiation of instruction to meet individual learners' needs?	No	The Pre-Release teacher does not have inmates assigned to him; this program is delivered through the Alternative Education Delivery Model process.
56.	Is the Pre-Release class a full-time program (four days/8.5 hours or five days/6.5 hours)? If no, is there an exemption on file?	No	The Pre-Release teacher does not have inmates assigned to him; this program is delivered through the Alternative Education Delivery Model Learning process.
57.	Are all of California Department of Corrections and Rehabilitation Form 128Es (that are used to record all education participation including course completions) and classroom records current and accurate and reflect a full-quota student enrollment?	No	The Pre-Release teacher does not have inmates assigned to him; this program is delivered through the Alternative Education Delivery Model process.
58.	Does the Pre-release Teacher use the Framework for Breaking Barriers?	Yes	The Breaking Barriers frame work is shown on institutional TV; and it is also included in the packets given to the inmates.
59.	Does the Pre-release teacher provide the Office of Correctional Education with monthly Pre-release reports on time and maintain copies of those Monthly Pre-release reports?	Yes	A monthly report is sent to Office of Correctional Education.

COMPLIANCE REVIEW FINDINGS

ACADEMIC EDUCATION SECTION

60.	<div style="background-color: #e0e0e0; padding: 2px; border: 1px solid black; margin-bottom: 5px;"> Recidivism Reduction Strategies Enhanced Outpatient Program: </div> <p>Is the Enhanced Outpatient Program Teacher a participating member of the Interdisciplinary Treatment Team (IDTT) meetings?</p>	Yes	
61.	<p>Is there a current roster of Enhanced Outpatient Program inmates determined eligible by Interdisciplinary Treatment Team (IDTT) and the Enhanced Outpatient Program teacher to receive education services?</p>	Yes	<p>However, currently there are only 9 Enhanced Outpatient Program inmates in the program. The program requires that there be 15 Enhanced Outpatient Program inmate participants. An additional 6 Enhanced Outpatient Program inmates are to be added as soon as possible (to total 15). There are 6 Psychiatric Service Unit inmates currently receiving assistance from the Enhanced Outpatient Program Teacher that should not be in the program. It is permissive at this time to continue assisting the 6 Psychiatric Service Unit inmates on a limited basis as long as all program requirements for 15 Enhanced Outpatient Program inmates are met. However, it is not within the Recidivism Reduction Strategies Enhanced Outpatient Program guidelines to provide assistance to Psychiatric Service Unit inmates and the teacher or the Office of Correctional Education Enhanced Outpatient Program Recidivism Reduction Strategies Manager can terminate assistance at any time.</p>

COMPLIANCE REVIEW FINDINGS

ACADEMIC EDUCATION SECTION

62.	Is the required student assessment for development of the Individualized Treatment and Education Plan completed in accordance with the Enhanced Outpatient Program assessment guidelines timelines?	Yes	The current teacher is delivering outstanding services and has excellent Enhanced Outpatient Program student achievement gains. It is recommended that Office of Correctional Education provide the BRIGANCE-Comprehensive Inventory of Basic Skills (tests)-Revised for the Enhanced Outpatient Program teacher to test and track monthly achievement testing results data supplemental to Test of Basic Adult Education and Comprehensive Adult Student Assessment System. However, the BRIGANCE is not mandated by the Recidivism Reduction Strategies Enhanced Outpatient Program requirements and does not replace the Office of Correctional Education Test of Basic Adult Education testing matrix requirements.
63.	Is there documentation of the education services provided to Enhanced Outpatient Program inmates?	Yes	The current teacher maintains outstanding student participation, work and achievement records.
64.	<div style="border: 1px solid black; padding: 2px;">Transforming Lives Network Program:</div> Are alternate modalities available for use within the housing units for the Distance Learning program? For example, video, Transitional Living Network, institutional television, visual worksheets, etc.?	Yes	
65.	Is the television specialist recording Transforming Lives Network broadcasting and archiving copies for re-broadcast and individual teacher access?	Yes	

COMPLIANCE REVIEW FINDINGS

ACADEMIC EDUCATION SECTION

66.	Is the television specialist setting up a broadcast schedule for the school and distributing that schedule to the school faculty?	Yes	
67.	Are school faculty members given the opportunity to provide input into the broadcast schedule?	Yes	
68.	<div style="border: 1px solid black; padding: 2px;">Recreation/Physical Education (P.E.):</div> Is there a current and comprehensive activity schedule for the Recreation and/or Physical Education Program?	No	The coach stated that he did not have a comprehensive activity schedule in place.
69.	Does the Physical Education teacher follow the California Department of Corrections and Rehabilitation approved selection process for movies?	Yes	PBSP has an Institutional Movie Review Committee; and the Inmate Advisory Committee also have a role in the movie selection process.
70.	Does the Physical Education teacher have sign-up sheets, team rosters, or other evidence of inmate participation in sports and health education activities?	Yes	
71.	Is California Department of Corrections and Rehabilitation-approved State frameworks curriculum being used and are course outlines present?	Yes	
72.	Are health education, physical fitness training and recreational activities being provided to the Special Needs populations?	Yes	
73.	Does the Physical Education teacher have a system in place to ensure accountability for state property including sports equipment, clothing and supplies?	Yes	

COMPLIANCE REVIEW FINDINGS

ACADEMIC EDUCATION SECTION

74.	Are there sufficient supplies, such as board games and sports equipment, to ensure a viable Physical Education program?	Yes	
75.	Are time-keeping records (California Department of Corrections and Rehabilitation Form 1697) on inmates assigned to work for the Physical Education teacher being kept?	Yes	The recreation workers' time is kept by the Recreation Officer.
76.	<div style="border: 1px solid black; padding: 2px; margin-bottom: 5px;"> Recidivism Reduction Strategies (Physical Education): </div> Are health education, physical fitness training and recreational activities being provided to the geriatric population (age 55 and over)?	Yes	The coach stated that he has planed activities for the geriatric population; and he ordered special equipment for their use.
77.	Have the funds for the Recidivism Reduction Strategies funds for the geriatric population been expended for the geriatric population?	Yes	Those funds were expended on equipment for the geriatric population.

COMPLIANCE REVIEW FINDINGS

VOCATIONAL EDUCATION SECTION

NO.	INSTITUTION: PBSP DATE: April 21-25, 2008 COMPLIANCE TEAM: Beverly Penland	Yes/No or N/A	COMMENTS
1.	<div style="border: 1px solid black; padding: 2px;">Student Job Description:</div> <p>Are all of the inmate students' job descriptions accurate, complete, signed, and available?</p>	No	The job descriptions are generic and are generated outside of the education department. They do not reflect the correct work hours, start and end times, or the correct regular days off (RDO.)
2.	<div style="border: 1px solid black; padding: 2px;">Student Records/Achievements:</div> <p>Do all of classroom files reflect Test of Adult Basic Education scores that are not over six months old for students under the California Department of Corrections and Rehabilitation Literacy Plan and Office of Correctional Education Test of Adult Basic Education testing criteria?</p>	Yes	The records reviewed were accurate. However, all inmates assigned to education need a record of a full battery Test of Adult Basic Education (TABE) 9/10 test including inmates who may be exempt. A TABE score of 9.0 on either a D or A level full battery TABE test and a General Educational Development certificate, High School Diploma or verified two years of college is required to be exempt from TABE testing.
3.	Are all of the California Department of Corrections and Rehabilitation Form 128E chronological reports, classroom records and timekeeping documents, current, accurate, and secure?	Yes	
4.	Is the curriculum recording system in-use, accurate, and current?	Yes	

COMPLIANCE REVIEW FINDINGS

VOCATIONAL EDUCATION SECTION

5.	Does the Permanent Class Record Card (California Department of Corrections and Rehabilitation Form 151) reflect the minimum student contact time of 6.5 hours x-time or 8.5 hours of x-time (on full days) for 4-10 programs?	No	The students do not receive the required 6.5 or 8.5 hours of student contact time. The students on the 4-10 programs normally receive a total of 8 hours of student contact time. The students on the 5-8-40 programs receive a total of 6 hours of student contact time. The recorded "S" time on the Permanent Class Record (California Department of Corrections and Rehabilitation Form 151) needs to reflect the time students are unable to receive the required student contact time.
6.	Are elective credits in the designated vocational subject being issued to students and recorded on their transcript in the education file?	No	Teachers are unaware they could be issuing credits to students who have earned them in their vocational training program.
7.	Are Trade/Industry Certifications being issued and recorded to those students earning them?	Yes	The National Center for Construction Education and Research certifications are issued.
8.	Are Certificates of Completion or Achievement as appropriate being issued and recorded for those students earning them?	Yes	
9.	<div style="border: 1px solid black; padding: 2px;">Instructional Expectations:</div> Do all of the vocational education classes have course outlines that agree with the California Department of Corrections and Rehabilitation curriculum?	No	One of the teachers has a well-developed syllabus. The other teacher did not have a course outline for his program.
10.	Do all of the vocational education classes have lesson plans that agree with the California Department of Corrections and Rehabilitation curriculum?	Yes	

COMPLIANCE REVIEW FINDINGS

VOCATIONAL EDUCATION SECTION

11.	Have the Literacy Implementation Plan sections (applicable to Vocational Education) been incorporated through a core set of literacy materials into the instructional plan and do lesson plans verify this?	No	Neither teacher has incorporated a core set of literacy materials into their lessons plans. They indicated that the majority of their students were above the 9.0 grade point level.
12.	Are Vocational Instructors conducting and documenting at least four hours of approved related formal classroom training each week for all inmate students?	Yes	One of teachers conducts related training each morning for one hour. The other teacher uses hand-on and demonstrations which is then reinforced using formal classroom training.
13.	Are all of the vocational programs that have a nationally recognized certification programs participating in that program?	No	One teacher is issuing National Center for Construction Education and Research certifications. The other teacher is new and needs direction on the certifications that are available within his trade and how to participate in issuing nationally recognized certifications.
14.	<div style="border: 1px solid black; padding: 2px;">Recidivism Reduction Strategies:</div> Are the Recidivism Reduction Strategies programs issuing trade certifications and/or National Center for Construction Education and Research (NCCER) certifications?	Yes	
15.	<div style="border: 1px solid black; padding: 2px;">National Center for Construction Education and Research:</div> Are all the National Center for Construction Education and Research (NCCER) accreditation guidelines for Standardized Training being used?	Yes	
16.	Are the Building Construction Trades using the Contren Learning Series text books as the primary classroom text book?	Yes	

COMPLIANCE REVIEW FINDINGS

VOCATIONAL EDUCATION SECTION

17.	Do all of the National Center for Construction Education and Research instructors have the resources needed to effectively teach the related trades?	Yes	
18.	Are all of the building trade instructors currently National Center for Construction Education and Research Certified Instructors and have attended the Instructor Certification Training Program (ICTP)?	Yes	
19.	Are all of the craft instructors maintaining and conducting record keeping as outlined in the National Center for Construction Education and Research Accreditation Guidelines?	Yes	
20.	Are all of the instructors maintaining the confidentiality and maintain restricted access to inmate social security numbers used on the National Center for Construction Education and Research Form 200's?	Yes	
21.	Are all of the written National Center for Construction Education and Research tests, National Center for Construction Education and Research test CD-ROMs and National Center for Construction Education and Research answer keys maintained in a secure locked location with an inventory of the tests on hand?	Yes	
22.	Are all of the students evaluated based on a 70% minimum passing score on National Center for Construction Education and Research written examinations?	Yes	
23.	Are those students that fail a National Center for Construction Education and Research written test or practical exam required to wait a minimum of 48 hours prior to being retested?	Yes	

COMPLIANCE REVIEW FINDINGS

VOCATIONAL EDUCATION SECTION

24.	Are 90% or more of the students completing the first six National Center for Construction Education and Research CORE Modules prior to starting the Level 1 for the trade?	Yes	
25.	Are all National Center for Construction Education and Research performance evaluations conducted for each module and a record of the Performance Profile Sheet maintained?	Yes	
26.	Upon successful completion of the National Center for Construction Education and Research written and performance evaluation, is the instructor documenting and submitting the Form 200 to the Unit Training Representative (UTR) for signature and forwarding to Office of Correctional Education within 60 days?	Yes	
27.	Are all of the instructors accepting National Center for Construction Education and Research Modules and Completion Certifications issued prior to students being assigned to the vocational class?	Yes	
28.	<div style="border: 1px solid black; padding: 2px;">Test of Adult Basic Education TESTING</div> <p>Are teachers testing within ten days of the student's initial entry into the classroom, as well as quarterly testing based on the Test of Adult Basic Education matrix?</p>	Yes	Both teachers indicated they test their inmates.
29.	Are the Test of Adult Basic Education tests administered according to the testing matrix?	Yes	
30.	Is the Test of Adult Basic Education locator being used, when needed, to determine which level appropriate Test of Adult Basic Education test to administer?	Yes	

COMPLIANCE REVIEW FINDINGS

VOCATIONAL EDUCATION SECTION

31.	Are teachers using Test of Adult Basic Education pre-post subtest diagnostic reports for student needs assessment and are they reviewing test scores with inmates?	Yes	
32.	Are teachers using the Test of Adult Basic Education test results as a diagnostic tool for individualized instruction and trouble shooting Test of Adult Basic Education score losses in their classes?	Yes	
33.	Are current Test of Adult Basic Education subtests placed in student's file?	Yes	
34.	<div>Gender Responsive Strategies:</div> Do all or more of the Gender Responsive Strategies (GRS) vocational classes have current course outlines that agree with the Office of Correctional Education/Gender Responsive Strategies approved curriculum, i.e. Cosmetology, Mill & Cabinet, Cable Technician, etc.?	N/A	
35.	Do all or more of the vocational classes have current lesson plans that agree with the Office of Correctional Education/Gender Responsive Strategies approved curriculum?	N/A	
36.	<div>Security and Order:</div> Are personal alarms issued by institution to instructors and do they wear a whistle and the personal alarms on their person?	Yes	
37.	Are exits clearly marked and emergency evacuation plans posted in accordance with the institution's emergency evacuation plan?	Yes	

COMPLIANCE REVIEW FINDINGS

VOCATIONAL EDUCATION SECTION

38.	Is there an Inmate Safety Committee that conducts and records weekly safety inspections?	Yes	
39.	Are at least one hour per month of safety meetings being held and documented?	Yes	
40.	<div>Trade Advisory Committee:</div> Does the instructor have a documented Trade Advisory Committee that meets at least quarterly?	No	One teacher is active with his Trade Advisory Committee members. The other teacher has experienced difficulty establishing members. It is suggested that he conduct phone interviews, site visits when feasible and provide documentation of each occurrence.
41.	<div>Job Market Analysis:</div> Is a current Employment Development Department Job Market Analysis and/or institutional Job Market Survey on file?	No	One of the programs had a Job market survey on file. Both teachers indicated they talk with their students concerning job opportunities and skills needed to succeed in their respective trades.
42.	<div>Apprenticeship:</div> Is there an active Apprenticeship Training Program?	N/A	
43.	If there is an active Apprenticeship Training Program, do inmates meet apprenticeship requirements and receive pay?	N/A	
44.	Does the instructor have a documented active Joint Apprenticeship Committee that meets at least quarterly within the institution?	N/A	

COMPLIANCE REVIEW FINDINGS

VOCATIONAL EDUCATION SECTION

45.	<div style="border: 1px solid black; padding: 2px; margin-bottom: 5px;">Employee and Community Services Programs.</div> <p>If vocational education programs are participating in Employee Services Programs, are they meeting Department Operation Manual and Penal Code requirements?</p>	Yes	
46.	<p>If vocational education programs are participating in community service projects, are they meeting Department Operation Manual requirements?</p>	Yes	

COMPLIANCE REVIEW FINDINGS

LIBRARY/LAW LIBRARY SECTION

NO	INSTITUTION: PBSP DATE: April 21-25, 2008 COMPLIANCE TEAM: Christine Long	Yes/No or N/A	COMMENTS
1.	<div style="border: 1px solid black; padding: 2px; margin-bottom: 5px;">Library Staffing:</div> <ul style="list-style-type: none"> Does the Principal, Academic Vice-Principal, or Vocational Vice-Principal supervise the library staff? Does the Senior Librarian implement/plan the library program? 	Yes	<p>The Principal supervises the library staff. The Senior Librarian has been in position for one year. Prior to her appointment the school used staff who did not hold the Master of Library Science degree as a Senior Librarian for an extended period of one year or more.</p>
2.	<div style="border: 1px solid black; padding: 2px; margin-bottom: 5px;">Department Operations Manual and Department Operations Manual Supplement:</div> <ul style="list-style-type: none"> Is the current Department Operations Manual, Section 53060 available in the main libraries and satellite libraries? Is there a Department Operations Manual library supplement that is brief, and contains no new policies and/or regulations unless they are court-ordered and does the Department Operations Manual supplement reflect the current, actual local library program? 	No	<p>There is no Department Operation Manual supplement for the library. There is an Operational Procedure #822 that has not been reviewed or revised since July 2005. All libraries have the 2007 edition of the DOM available.</p>

COMPLIANCE REVIEW FINDINGS

LIBRARY/LAW LIBRARY SECTION

3.	<div style="border: 1px solid black; padding: 2px; margin-bottom: 5px;">General Population (GP) Access Hours:</div> <ul style="list-style-type: none"> • Are library hours of operation posted where General Population inmates can see them, and do General Population inmates have access to the library during off work hours? • Do General Population inmates have regular access to non-legal library services? 	No	<p>Library hours are posted on the library window facing the academic area hallway. Minimum Support Facility library hours are posted outside the library door. Off-work hours are available for non-legal services the on Minimum Support Facility. A & B yards provide access to the library on weekends, but for law library access only. General Population inmates can access non-legal reading materials on A & B yards by paging only. Minimum security inmates have access to non-legal materials in A Dorm (mainly donated books, no actual library, using a vacant office once used for the Correctional Counselor which results in limited access for B dorm inmates.)</p>
4.	<div style="border: 1px solid black; padding: 2px; margin-bottom: 5px;">General Population Law Library Documentation:</div> <ul style="list-style-type: none"> • Is there documentation of General Population inmates' access to law library for a minimum of two hours within seven calendar days of their request for legal use? • Is there a list showing inmates who request legal access, and those who received access? 	Yes	<p>Law library access for Minimum Support Facility inmates on Facility B was recently cancelled; currently the inmates have no physical access and can use the paging system only.</p>

COMPLIANCE REVIEW FINDINGS

LIBRARY/LAW LIBRARY SECTION

5.	Restricted Housing Status Inmate Access: <ul style="list-style-type: none"> • If there are Restricted Housing inmates in the institution, is there a Department Operations Manual supplement relating to their use of the library? • Is there a method for Restricted Housing inmates to request physical access to the law library which includes a list showing Restricted Housing inmates requests for access and inmates who actually used the library and is access granted for a minimum of one two-hour block of time if needed by the inmate, within seven calendar days of a request? 	No	There is no Department Operation Manual supplement detailing Restricted Housing inmate access. This is included in OP 822 Library and Law Library Services dated July 2005. The Administrative Segregation Unit, the Security Housing Unit, the Transitional Housing Unit, Psychiatric Security Unit and Enhanced Outpatient Program inmates may request Law Library access on a Law Library Access Request and a Security Housing Unit Law Library Access Request form.
6.	Restricted Housing Status Non-Legal Library Services: <p>Do Restricted Housing inmates receive general library services?</p>	Yes	Inmates submit a Book Request form. The Security Housing Unit, the Administrative Security Unit, etc. inmates may receive two books at a time for a two week checkout period.
7.	Library Expenditures: <ul style="list-style-type: none"> • Are library funds spent for magazines/newspaper subscriptions, fiction and nonfiction books, supplies, processing, repair, and interlibrary loan fees? • If other items are purchased, are they for library use? 	No	Library funds are used for fiction, nonfiction books, supplies for processing and repair and any other associated library expenses; these funds are not used for purchasing magazine or newspaper subscriptions.
8.	Inmate Welfare Funds (IWF) Expenditure: <p>Are Inmate Welfare Funds used to purchase newspapers, magazines, and paperback fiction books, etc.?</p>	No	Inmate Welfare Funds are used for the purchase of paperback books only; they are not used for magazine or newspaper subscriptions purchases.

COMPLIANCE REVIEW FINDINGS

LIBRARY/LAW LIBRARY SECTION

9.	<div style="border: 1px solid black; padding: 2px; margin-bottom: 5px;">Law Library Expenditure:</div> <ul style="list-style-type: none"> Does the Senior Librarian understand the process associated with receiving the mandated law discs/books through the warehouse or mail room? Are the Stock Received Reports completed and submitted to the Regional Accounting Office? 	Yes	Copies of the Stock Received Report are distributed by the Senior Librarian to Office of Correctional Education, and the Regional Accounting Office.
10.	<ul style="list-style-type: none"> Are all received mandated law books and discs made available to inmates in a timely manner? Are the discs timely loaded on the Law Library Electronic Data System computer? Are the law books shelved promptly? 	Yes	When notified by the Warehouse that the discs have been received the Senior Librarian contacts the Associate Information Systems Analyst and inquires whether or not the Associate Information Systems Analyst wants the Senior Librarian to load the updates. The Senior Librarian is the usual person to load the computers.
11.	<ul style="list-style-type: none"> Are law library discs checked in by the Associate Information Specialist Analyst? If not, who checks them? 	No	The Receiving Warehouse notifies the Senior Librarian and she checks them in.
12.	Does the librarian know what steps to take if a mandated law library book or disc is not received when it should be?	Yes	

COMPLIANCE REVIEW FINDINGS

LIBRARY/LAW LIBRARY SECTION

13.	Library Book Stock - Quality, Part I: <ul style="list-style-type: none"> • Within the entire institution's libraries, is there at least one encyclopedia with a copyright date within the last five years and one unabridged dictionary (no older than five years.) • Does the library program have at least three directories relevant to the questions asked by the population served? 	No	<p>There is a need to order an updated unabridged dictionary. There is one encyclopedia on disc that is current, must order a new edition prior to 2009 when timeframe expires. The Directory of Attorneys 2007 is in Facility A only, all other directories throughout the institution libraries, i.e. Business Phone Book, National Directory and Zip Code Directories are outdated (1998, 1996, 2002). They all need to be updated.</p>
14.	Library Book Stock - Quality, Part II: <p>Does each library in the institution have a current world almanac, an atlas that is no more than three years old, an English language dictionary that is no more than five years old, and a Spanish and English dictionary that is no more than ten years old?</p>	No	<p>The libraries need copies of updated Atlases, Almanacs Spanish/English Dictionaries, as well as English language dictionaries. All libraries have only outdated publications.</p>
15.	Library Book Stock - Quality, Part III: <ul style="list-style-type: none"> • Does each library regularly inspect the physical condition of their books? • Does the library program have a book repair procedure 	Yes	
16.	Library Book Stock - Quality, Educational Support, Literacy, Multi-Ethnicity: <p>Does each library in the institution have at least one textbook and two supplemental titles which have copyright dates not more than ten years old representing each vocational and academic program in the institution, a minimum of 100 titles representing high interest/low level reading books, a minimum of 250 multi-ethnic titles, including but not limited to Black American, Asian-American, Hispanic-American (including Spanish language) and Native American materials?</p>	No	<p>All facility libraries lack textbooks reflecting current academic and vocational programs. Also the high interest/low level reading and multi-ethnic collections are deficient.</p>

COMPLIANCE REVIEW FINDINGS

LIBRARY/LAW LIBRARY SECTION

17.	Library Book Stock - User Orientation: <ul style="list-style-type: none"> Are book collections designed to meet the needs and interests of the inmate population served? Does the librarian regularly meet with an inmate library advisory group, and does the library maintain a suggestion box? 	No	Book collections do reflect needs and interests of the inmate population. The Senior Librarian does not meet with an inmate library advisory group, the Men's Advisory Council or the Site Literacy Committee. The Academic Vice-Principal meets with the Inmate Education Advisory Committee. Suggestions are received from education department staff and inmates via institution mail.
18.	Library Book Stock - Quantity: (Department Operations Manual Book Aug) <ul style="list-style-type: none"> Does the current library collection contain the number of fiction and nonfiction books mandated by California Department of Corrections and Rehabilitation? Does this include any new books purchased through Recidivism Reduction Strategies (RRS) funding? 	Yes	
19.	Have all books purchased through the Recidivism Reduction Strategies funds been received, shelved, and inmate use tracked?	Yes	The books have been processed and are in circulation. A tracking system is in place and the Senior Librarian reports their use on the quarterly library report.
20.	Book Access: <ul style="list-style-type: none"> Is there a card catalog or equivalent system that inmates can use to find a book by title, author, or subject matter? Can inmates request books that are not in the library collection? 	Yes	The libraries use printed booklists instead of a card catalog. The libraries occasionally borrow from the California State Library (Inter-Library Loan.)
21.	Circulation: <p>Is there an adequate library book checkout system in place and an adequate overdue system in use?</p>	Yes	The libraries use the Follett automated system.

COMPLIANCE REVIEW FINDINGS

LIBRARY/LAW LIBRARY SECTION

22.	<div style="border: 1px solid black; padding: 2px; margin-bottom: 5px;">Mandated Law Library/California Code of Regulations, Department Operations Manual</div> <ul style="list-style-type: none"> • Are the Gilmore v. Lynch mandated law books up to date? • Does the library collection have the most current California Code of Regulations/Title 15 in English and Spanish? • Is there a method of displaying proposed and actual revisions of California Code of Regulations/Title 15 for the inmate population, and does each library have a complete up-to-date Department Operations Manual? • Are all the Law Library Electronic Data System computers up-to-date and operating in each library? 	No	Senior Librarian has received some updates but was told by warehouse staff that if shelved she would be financially responsible since a new purchase order has not been received. Therefore the books and supplements are sitting in the library storage building. The California Code of Regulations/Title 15 revisions are posted. Law Library Electronic Data System are operating in all but Minimum Support Facility libraries. However the libraries are waiting for an update subscription to be processed by the Department of General Services.
23.	<div style="border: 1px solid black; padding: 2px; margin-bottom: 5px;">Law Library - American Disability Act (ADA):</div> <p>Are American Disability Act mandatory postings present in the library?</p>	Yes	
24.	<div style="border: 1px solid black; padding: 2px; margin-bottom: 5px;">Circulating Law Library:</div> <p>Is a procedure for accessing the Circulating Law Library in place?</p>	Yes	Use Inter-Library Loan system with the California State Law Library when necessary.
25.	<div style="border: 1px solid black; padding: 2px; margin-bottom: 5px;">Court Deadlines:</div> <p>Are court deadlines verified, and is there documentation that inmates with established court deadlines have priority access to the library?</p>	Yes	Exception: the only access for Minimum Support Facility inmates is through paging at this time.
26.	<div style="border: 1px solid black; padding: 2px; margin-bottom: 5px;">Law Library Forms and Supplies:</div> <p>Do inmates have access to court required forms; are required legal supplies adequate and available; are procedures to distribute forms and supplies appropriate; and do all law libraries follow the same law library procedures?</p>	Yes	

COMPLIANCE REVIEW FINDINGS

LIBRARY/LAW LIBRARY SECTION

27.	<div style="border: 1px solid black; padding: 2px;">General Library Forms and Supplies:</div> <p>Are adequate supplies available to process library materials, and are there standardized forms for library procedures that are used by all the libraries in the institution?</p>	Yes	Library staff noted that requests for library institution stationary supplies have not been complete. The librarians recently submitted a purchase request for additional supplies.
28.	<div style="border: 1px solid black; padding: 2px;">Inmate Clerk Training:</div> <ul style="list-style-type: none"> • Do inmate library/law library clerks receive documented training? Are training records maintained for each inmate employee? • Do inmate clerks receive training on a regular basis in law library and general library processes? 	No	The librarians have no inmate training and training records documentation in place. There is some staff training on general library procedures (overdues, checkout process.)
29.	<div style="border: 1px solid black; padding: 2px;">Security and Order:</div> <ul style="list-style-type: none"> • Are personal alarms issued by institution to library staff; does library staff wear a whistle and the issued personal alarms? • Are exits clearly marked and evacuation plans posted in accordance with the institution's emergency evacuation plan? 	Yes	

2007/2008 COMPLIANCE OVERVIEW

FEDERAL GRANT PROGRAMS SECTION

Workforce Investment Act (WIA)

	INSTITUTION: Pelican Bay State Prison DATE: April 15, 2008 COMPLIANCE TEAM: Mark Lechich	YES/NO or NA	COMMENTS
1.	Duty Statement/Job Description/Credentials – Literacy Learning Lab Do you have a current duty statement on file (within one year)?	N/A	Pelican Bay State Prison does not have Phase I & II Literacy Learning Lab.
2.	Do you have a valid credential on file?	N/A	
3.	Security/Order – Literacy Learning Lab Are personal alarms issued by the institution to teaching staff and worn?	N/A	
4.	Are exits clearly marked and emergency evacuation plans posted in accordance with the institution's emergency evacuation plan?	N/A	
5.	Supervisory/Support – Literacy Learning Lab Do you receive support from your supervisor and other educational staff?	N/A	
6.	Does the Vice Principal visit/observe your class? Does the Principal visit/observe your class? Do you maintain a sign-in log?	N/A	
7.	Inmate Enrollment – Literacy Learning Lab Do you maintain a minimum enrollment of 27 students?	N/A	
8.	Do students receive direct/group instruction?	N/A	
9.	Is the Literacy Learning Lab a "self contained" program?	N/A	
10.	Student Records/Testing Achievements – Literacy Learning Lab Do you verify non-General Education Development or non-High School graduation of the student?	N/A	
11.	Do you start a student record file upon the student entering the Literacy Learning Lab program?	N/A	

2007/2008 COMPLIANCE OVERVIEW

FEDERAL GRANT PROGRAMS SECTION

Workforce Investment Act (WIA)

12.	Does each student have a current Test of Adult Basic Education score? <i>If not, do you refer the student for testing?</i>	N/A	
13.	Do you assess student's basic skill level? <i>Describe</i>	N/A	
14.	Are at least 90% of the California Department of Corrections and Rehabilitation Form 128E' chronological reports, classroom records and accountability documents current, accurate and secured?	N/A	
15.	Are the Student Files current (incl. Test of Adult Basic Education scores and any other assessment scores)? <i>Review</i>	N/A	
16.	Is there a current Student Job Description on file?	N/A	
17.	<div style="border: 1px solid black; background-color: #e0e0e0; padding: 2px; margin-bottom: 5px;"> Instructional Expectations – Literacy Learning Lab </div> Do you use the approved California Department of Corrections and Rehabilitation Competency Based Adult Basic Education curriculum?	N/A	
18.	Are differentiated instructional methods used? <i>Describe</i>	N/A	
19.	Do students track their own progress?	N/A	
20.	Do the students receive computer orientation? Is there continuous training? <i>Describe</i>	N/A	
21.	Do you maintain course outlines and lesson plans? <i>Review files</i>	N/A	
22.	Do you use alternative assessment instruments (besides the required Test of Adult Basic Education), to determine a student's instructional plan? <i>Describe</i>	N/A	

2007/2008 COMPLIANCE OVERVIEW

FEDERAL GRANT PROGRAMS SECTION

Workforce Investment Act (WIA)

23.	Do students spend an average of six months of instructional time enrolled in the program?	N/A	
24.	<div style="border: 1px solid black; padding: 2px;">Other Services – Literacy Learning Lab</div> Do you refer students to other services, i.e. medical? <i>Describe the process</i>	N/A	
25.	Do you provide the students career-related information?	N/A	
26.	Do you have student aides? If so, how many and how are they used?	N/A	
27.	<div style="border: 1px solid black; padding: 2px;"></div> Have you participated in conferences, workshops and seminars from July 1, 2007– December 31, 2008? If so, provide a list.	N/A	
28.	<div style="border: 1px solid black; padding: 2px;">Expenses – Literacy Learning Lab</div> Are spending levels appropriate for material purchases and training to support program needs?	N/A	
29.	<div style="border: 1px solid black; padding: 2px;">Equipment – Literacy Learning Lab</div> Do you maintain a complete and current inventory of equipment? Is equipment tagged with a Workforce Investment Act property tag? <i>Conduct an inventory</i>	N/A	
30.	Is your software appropriately maintained by PLATO's technical field staff?	N/A	
31.	Do you register all new software purchases with the Associate Information Systems Analyst?	N/A	
32.	<div style="border: 1px solid black; padding: 2px;">Committees/Meetings – Literacy Learning Lab</div> How often do you meet with the referral teacher for consultation on a student?	N/A	

2007/2008 COMPLIANCE OVERVIEW

FEDERAL GRANT PROGRAMS SECTION

Workforce Investment Act (WIA)

33.	<div style="border: 1px solid black; padding: 2px; margin-bottom: 5px;"> CASAS/TOPSprO Management Information System (MIS) Coordinator </div> <p>Have you been trained in the area of California Accountability and the TOPSprO Management Information System to appropriately perform your duties as a Comprehensive Adult Student Assessment System Coordinator? When was the date of the last training? <i>Dates of last trainings</i></p>	Yes	Ms. Thogmartin attended the April, 2008 and the October, 2007 TOPSprO training conducted by the WIA Administrator. She also attended the 2007 CASAS Summer Institute as Presenter.
34.	Do you have an adequate amount of Comprehensive Adult Student Assessment System (CASAS) testing materials to implement CASAS? <i>Explain the CASAS testing procedures at your institution.</i>	Yes	Adequate amount of testing materials. The teachers pick-up the testing materials in the Education Office. Sign-Out/Sign In Sheet system is in place.
35.	Are the Comprehensive Adult Student Assessment System testing materials appropriately inventoried and secured?	Yes	Locked in cabinet in secured Education Office.
36.	Are you using the latest version of the TOPSprO Management Information System software?	Yes	TOPSprO version 4.6 Build 69.
37.	Is the hardware equipment (Scantron machine) and software (TOPSprO Management Information System) used to implement Comprehensive Adult Student Assessment System appropriately maintained?	Yes	The computer is in good shape. The scanner is antiquated, however is operating well at this time.
38.	Do you provide each teacher with a Student Performance by Competency Report to assistance them in preparing lesson plans?	Yes	Competency Reports for Students and Class. Student Gains by Class Report is also given to the classroom teachers.
39.	Do you know how to generate the California Payment Point Report? Can you generate a Preliminary Payment Point Report?	Yes	Ms. Thogmartin checks the Payment Point Report after each scanning. The Preliminary Report is also checked for cleaning data.

2007/2008 COMPLIANCE OVERVIEW

FEDERAL GRANT PROGRAMS SECTION

Workforce Investment Act (WIA)

40.	Are the appropriate students receiving and completing the Core Performance Surveys? <i>Explain the process in place to ensure that students are receiving the surveys.</i>	Yes	If the ex-student is still at the institution the CASAS Coordinator would hand deliver Survey to the ex-student to complete the form.
41.	Can you generate an up to date list of students that will be receiving the Core Performance Survey for the past quarter?	Yes	Second Quarter data indicated that one student needed to complete the survey. The ex-student had left the institution.
42.	Can you generate a Data Integrity site review?	Yes	Data Integrity Report is used for assisting Coordinator to locate errors in the data.
43.	Can you generate a Student Gains by Class Report? Can you produce five student Entry/Update records and Pre/Post Test records? (Check reports with Student Gains by Class Report and Student Lister. Dates, testing books, and scores should match between records)	Yes	This report is given to teachers and supervisors to account for the students learning gains. All records matched.

COMPLIANCE REVIEW FINDINGS

FEDERAL GRANTS PROGRAMS SECTION

Carl D. Perkins Act
Vocational and Technical Education Act Grant

No.	INSTITUTION: PBSP DATE: April 15, 2008 COMPLIANCE TEAM: Ron Callison	Yes/No or N/A	COMMENTS
1.	<div style="background-color: #cccccc; border: 1px solid black; padding: 2px;">Inmate Enrollment</div> <p>Is the class meeting the Office of Correctional Education required enrollment quota?</p> <p>(Note the actual enrollment in the comments section).</p>	Yes	<p>Class 1: Enrollment: 25 Class 2: Enrollment: 22</p>
2.	<div style="background-color: #cccccc; border: 1px solid black; padding: 2px;">Equipment Inventory</div> <p>Is the Vocational and Technical Education Act equipment properly tagged?</p> <p>(Note the condition of equipment in the comments section).</p>	Yes	<p>Condition of equipment: Excellent.</p>
3.	<p>Is Vocational and Technical Education Act equipment used for the intended purpose?</p>	Yes	
4.	<div style="background-color: #cccccc; border: 1px solid black; padding: 2px;">Student Records/Testing Achievements</div> <p>Are course completions being issued for Office of Correctional Education program training requirements?</p> <p>How many students are trained per year?</p> <p>(Note the number of students trained per year in the comments section).</p>	Yes	<p>Number of students trained per year for both classes is 102.</p>
5.	<p>Do Student files verify equipment training on California Department of Corrections and Rehabilitation Form 128E?</p>	Yes	
6.	<p>Is the Office of Correctional Education-approved curriculum and recording system in use?</p>	Yes	
7.	<p>Are lesson plans in accordance with Office of Correctional Education guidelines?</p>	Yes	<p>National Center for Construction Education and Research Construction Technology in one class.</p>

COMPLIANCE REVIEW FINDINGS

FEDERAL GRANTS PROGRAMS SECTION

Carl D. Perkins Act
Vocational and Technical Education Act Grant

8.	Related Training Is safety and literacy training taking place in accordance with Office of Correctional Education guidelines?	Yes																									
9.	Vocational Classroom Physical Access Are students able to get physical to the vocational shops over 50% of the time? (Note the "X" and "S" time for the last two prior months).	Yes	<table border="1"> <thead> <tr> <th colspan="2">Month/Class</th> <th>X-time hours</th> <th>S-time hours</th> </tr> </thead> <tbody> <tr> <td>1st</td> <td>1st</td> <td>2300</td> <td>404</td> </tr> <tr> <td>2nd</td> <td>1st</td> <td>1988</td> <td>860</td> </tr> <tr> <td>1st</td> <td>2nd</td> <td>1783</td> <td>791</td> </tr> <tr> <td>2nd</td> <td>2nd</td> <td>2230</td> <td>423</td> </tr> <tr> <td colspan="2">Totals:</td> <td>8301</td> <td>2478</td> </tr> </tbody> </table>	Month/Class		X-time hours	S-time hours	1 st	1 st	2300	404	2 nd	1 st	1988	860	1 st	2 nd	1783	791	2 nd	2 nd	2230	423	Totals:		8301	2478
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Totals:		8301	2478																								
10.	Trade Advisory Committee Are quarterly meetings held and minutes kept? <i>(Note the Number of Trade Advisory Committee members, number in the comments section).</i>	No	Number of TAC members: 1 st Class: None 2 nd Class: 4 members																								
11.	Supplemental Areas (not counted for points on the overall Compliance Review) Apprenticeship: Number of apprentices _____ Institutional Pay _____ Union/Company Affiliation _____ _____ Current DAS Form _____ OJT Work Logged _____ Less than 5 years _____	N/A																									

COMPLIANCE REVIEW FINDINGS

FEDERAL GRANTS PROGRAMS SECTION

Carl D. Perkins Act
Vocational and Technical Education Act Grant

12.	Is the shop clean? (Note the cleanliness and general maintenance of the shop in the comments section).	Yes	
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